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ABSTRACT

An innovative principal preparation program was created at the University of Tennessee--Knoxville. The program was built around 19 parameters and based upon three theoretical domains in administration: organization (defines managerial role), human dimension (defines human relations role), and individual relationship with other two dimensions (defines leadership role). Five streams make up the program structure: (1) an internship with a mentor principal; (2) assessment, development, and reflective practices; (3) knowledge and skill base; (4) supported induction during the first year as an administrator; and (5) maintenance. Two appendices contain tables, illustrations, and outlines of the program. (EJS)

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Abstract for NCPEA Program 1990

Title:

"An Innovative Principal Preparation Program - A Structural Approach"

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Abstract:

This paper describes the development of an innovative principal preparation program at The University of Tennessee - Knoxville based on a theoretical, structural model of educational administration. The program is based on three theoretical domains and has five major streams: Knowledge and skill base; Structured internship; Assessment, development, and reflective practice; Supported induction; and Maintenance. Non-traditional approaches have been used for the delivery of all aspects of the program.

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"An Innovative Principal Preparation Program - A Structural Approach"

by

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August, 1990

Introduction

In the fall of 1988, the Department of Educational Leadership of The University of Tennessee received a grant from the Danforth Foundation to develop an innovative principal preparation program. The University of Tennessee was to be a member of the third group of universities funded by the Danforth Foundation to develop innovative programs.

Once the grant was awarded, an action/advisory board composed of university personnel; public school principals, supervisors, and superintendents, officers of professional administrator organizations; and representatives of other agencies and the business community was established. From the beginning, it was decided that the Board would have the final say over all aspects of the program to be developed.

Several task forces were created. The first task force had the responsibility for the establishment of the financial parameters of the program, the recruitment of participating school districts, the recruitment of participants, and the screening and selection of participants in the program. The second task force had the responsibility for developing the parameters of the planned internship; defining the role of the planned mentor principals and for identifying recruiting, selecting, and training of the mentor principals. The third task force had the responsibility for developing the actual form and structure of the total preparation program. It is the

purpose of this paper to describe the program developed by this third task force and ultimately adopted and implemented by the Advisory Board.

The author of this paper and Bobbi McGarity, who at the time was Principal of Inskip Elementary School in Knoxville, Tennessee and who is now an elementary school supervisor for the Knox County, Tennessee Schools, served as co-chair of the task force and were responsible for creation and development of most aspects of the final program.

Our task was not easy. We wished to create an innovative program which would differ significantly from what has traditionally been provided by universities, which would truly provide beginning school principals with the necessary survival skills to be successful, which would build on a knowledge base of known successful practice, and which would provide an opportunity to research new structures, practices, and procedures.

Program Parameters

We quickly realized that we would have to work within a set of given parameters. Some of these parameters, but certainly not all, were the following:

1. The program would have to fit within the semester hour course structure of The University of Tennessee.

2. The program would have to meet the program and degree requirements of the Graduate School of The University of Tennessee.

3. The program would have to meet the licensure and certification requirements for the principalship in the State of Tennessee.

4. If the program varied from existing state certification requirements, approval from the state certification office for an alternate program would have to be received prior to the start of the program.

5. If there were any questions about the programs not meeting all university and graduate school requirements, prior approval for all changes would be needed before the commencement of the program.

6. The financial restrictions on the development and operation of the program would be a major factor. There was to be a very limited budget.

7. Public school people and university staff were to be perceived and treated as equal professionals in all matters.

8. If the program was to be successful, all members of the Department of Educational Leadership had to "buy in" and have a significant role to play in the success of the program.

9. If the program was to be successful, the Department's regular principal certification program based on 18 discrete 3 semester hour courses would have to be abandoned.

10. The program would be based on a comprehensive conceptual model of school administration which had been

developed by the author and used at The University of Tennessee in program development.

11. The program would include a significant internship with program participants working with exemplary school principals.

12. The program would include various elements such as school visits, seminars devoted to reflective practice, assessment of administrative skills, development of action plans, personal and group skill development, and participation in simulation activities which past experience and research has shown to be effective in the development of outstanding school principals.

13. Only participants with little or no administrative experience or training were to be admitted to the program. However, all were to have had teaching experience.

14. All participants were to have a proven track record of successful teaching and leadership experience.

15. The program should last no longer than two summers and the intervening academic year.

16. A participant should be able to complete all requirements for a master's degree in educational administration during the term of the program.

17. The mentor principals would take primary responsibility for supervising the participant's internship. However, a university professor would be assigned to work with each mentor and intern.

18. University professors would be responsible for all university based aspects of the program. However, public school personnel would be used in situations where the public school people had the greater expertise.

19. Whenever and wherever, guarantees of accountability would be built into the program.

Theoretical Model of Administration

The guide for discussion and decision-making by the task force and the advisory board was a theoretical model of school administration developed by the author over a period of years. The model identifies three major domains in the practice of administration. The first domain focuses on the organization itself. It defines the managerial role in administration. The task is to establish and maintain management systems in a range of task areas. The systems are designed to achieve organizational goals or satisfy organizational needs.

The second domain focuses on the human dimension of the organization. It defines the mediator/motivator or expert in human relations role in administration. The task is to establish and maintain human systems designed to achieve or satisfy individual and/or group goals and needs.

The third dimension focuses on the individual and his/her relationship with the other two domains. It defines the leader or coordinator/facilitator role in administration. The task is to have the vision, qualities,

and skills necessary to work with the other two dimensions such that both the organization's goals and needs and the human goals and needs are achieved or satisfied. To be a leader, one must have the skill to create or have created new management and human systems which are designed to achieve goals or satisfy needs. Ideally such systems will be both effective and efficient.

At the end of this paper, is included a copy of an early form of the model as well as a form used in the development of the program being described (Appendix A).

The Program Structure

After extensive thought and discussion by the task force and the advisory board the following programmatic streams were adopted:

I. Structured internships
II. Assessment, development and reflective practice
III. Knowledge and skill base
IV. Supported induction
V. Maintenance

Stream I - Structured Internship

We have always known that a good structured internship is critical to the development of school leaders and we have always required an internship at The University of Tennessee. Unfortunately, many of those internships were not done under the best of conditions or with the best

results. The decision was made to include at least a half year's full-time internship in the program. The internship was to be done with an exemplary, mentor principal. While only six semester hours of credit were assigned to the internship experience, the interns worked in their assigned schools and with their mentor principals from the beginning of the first summer through the academic year and into part of the second summer. Faculty members were also assigned to work as a team with the intern and mentor principal.

Stream II - Assessment, Development and Reflective Practice

Stream II represents the true innovative part of the program. It was developed in response to the concern of superintendents who have many people credentialed on paper but who may or may not actually have the skills to be a successful building administrator. It was also developed as a result of past experience with assessment centers and simulation activities.

Assessment was to be made of participants' skills during the first summer of the program. Based on those assessments, individual and group skill development programs would be implemented during the academic year. During the second summer a final set of assessments would be made and a plan for future career development would be established. Thus at the end of the program, we would have real measures of progress and success as well as true indicators of

participant skills and probability for success as school administrators.

A second major component of Stream II was to be a year long seminar focused on reflective practices. It would be within this seminar that internship experiences, course work, visits to exemplary schools, contact with exemplary principals, participation in professional conferences, etc. would be processed and analyzed. The purpose of the seminar would be the development of the skills of reflective practice, that is, to learn from one's experience.

Stream III -Knowledge and Skill Base

We early decided that we would abandon the traditional 3 semester hour course structure where all the work taken is within the bounds of traditional academic courses taken on a university campus or center. We had recently changed from the quarter system to the semester system at The University of Tennessee and realized that the change had had a negative effect on the flexibility, extent, and content of our principal preparation program. In order to build into our program field experiences and other activities, we arbitrarily decided to limit the knowledge base work to 9 courses with 18 semester hours of credit or one-half of the total program. We further broke those 9 courses into 18 distinct mini-courses with the equivalent on 1 semester hour of credit for each. Each mini-course would have the equivalent of 5 class sessions of 3 hours duration each.

One reason for choosing this structure was so that, if the program was successful, we could easily institutionalize it within existing university guidelines. The selection of the particular 18 mini-courses was based on our theoretical model, discussion, and compromise.

We also adopted this structure because we could easily demonstrate to the state that we met its requirements for having a minimum of 20 semester hours of content related course work in nine specified areas of study. Thus, we did not need to get special clearance from the State Board of Education for our program.

A member of the Department of Educational Leadership or a member of another department within the College of Education was assigned to be responsible for each mini-course. The assignment was based on area of expertise and was done so that we would have accountability for the content and delivery of each mini-course. It was also done so that each member of the department would have a share in the success of the program.

Each faculty member in conjunction with a field advisory team developed the form, structure, content, and delivery of each mini-course. In some cases, the faculty member taught the entire mini-course. In other cases, the faculty member served as coordinator and field people and others taught the course. It was the idea that eventually this part of the program would be based on discrete instructional modules. A chart showing all aspects of

Streams I, II, and III, a list of the 18 mini-courses developed and a general description of program's course of study are included at the end of this paper (Appendix B).

Stream IV - Supported Induction

We realized that no matter how good any program might be, once a person was actually on the job he or she would need supportive help. The purpose of Stream IV therefore was to create a professional and personal support network for each participant. One way in which this was achieved was by committing the support of the Department of Educational Leadership and its members to providing whatever assistance a participant might need during his or her first year as a school administrator.

Stream V - Maintenance

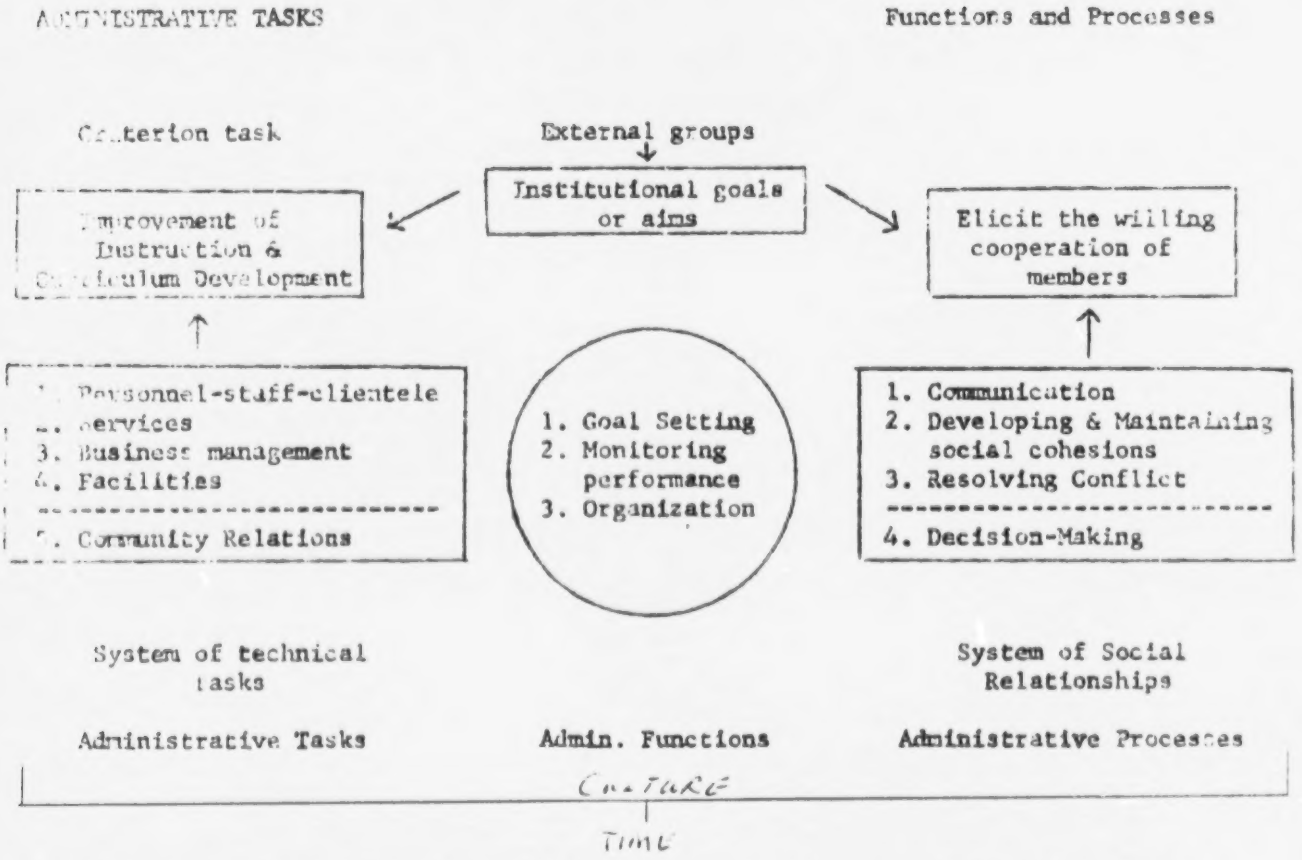
Most programs end with the awarding of a degree or the receiving of a certificate of completion. Our view is that we have a lifelong relationship with our graduates. Therefore, in one respect, our innovative preparation program is designed to never end. Built into the program are plans for periodic sessions for renewal with our participants. We hope that they may provide helpful insights into the ways in which we may continue to improve the way in which we prepare school administrators.

Evaluation

The members of the first cycle of the program only now are completing their 15 month long program. We, as yet, do not have all our assessment data collected nor analyzed so that we do not have any final conclusions about the success of the program. The general consensus of the university personnel, the field people, advisory board members, mentor principals, etc. connected with the program is that all six of the participants in the first cycle are winners and that five of the six are clearly outstanding. Each has the knowledge and skills equivalent or superior to someone who has been in a principalship for 3 to 5 years or more. Four of the six will have administrative positions for next year. The fifth has been hired to create and operate a new program for gifted and talented students. The sixth will probably receive an administrative appointment within the next year.

The general consensus is also that the format and structure created and the program that resulted represents a far superior approach to the preparation of school administrators than the traditional, course driven, university-based programs of the past. We hope that we will continue to experiment and learn and that each new approach will be better than the last. The final measure of our success is the success of our graduates in establishing and maintaining effective and exemplary schools.

APPENDIX A



The Criterion task - Everything must be determined and evaluated in terms of the criterion task rather than in terms of internal structure, people's feelings, etc.

The Administrative tasks, functions, and processes are common to all organizations. What makes a difference is the criterion task, organizational structure, authority structure, and expertise of the organization members.

DOMAINS OF ADMINISTRATIVE PRACTICE

A. Management

A system of technical tasks

Role: Manager

Purpose: To satisfy the organization's goals and needs by establishing and maintaining management systems in each of the defined task areas.

Task Areas:

1. Educ. Program (Criterion task)

   (Inst. leadership)

   Curr. Dev. & Eval.
   Inst. Th. & Des.
   Learning Th.
   Scheduling
   Grouping
   Intstruction
   Supervision

2. Personnel

   Staff
   - Certificated
   - Non-certificated

   Pupil
   - Guidance
   - Discipline
   - Attendance
   - Activities
   - Athletics

   Pers. functions

B. Leadership

A system of leadership functions

Role: Leader - coordinator/ facilitator

Purpose: To provide sufficient direction to satisfy, at the same time, both member and organization goals and needs.

Leadership Skills:

1. Org. Analysis
2. Prob. Analysis
3. Determining Values
4. Goal Setting
5. Systematic Plan.
6. Organization
7. Evaluation
8. Feedback
9. Reporting
10. Leadership
11. Decision-making
12. Decisiveness
13. Ed. Values/Ethics

C. Human Relations

A system of social processes

Role: Mediator/ motivator

Purpose: To elicit the willing cooperation of members by satisfying individual and group goals and needs.

Human Factors:

1. Communication
2. Conflict Man.
3. Social Cohesions
4. Decision-making
5. Motivation
6. Group Dynamics
7. Climate
8. Culture
9. Org. Culture
10. Sensitivity
11. Philosophy
12. Values
13. Stress Man.
14. Ed. History

DOMAINS OF ADMINISTRATIVE PRACTICE

Task Areas: (Cont.)	Leadership Skills (Cont.)	Human Factors (Cont.)
3. Finance & Business Management	14. Delegation	15. Negotiations
4. Legal Requirements	15. Politics	16. Mediation
5. Facilities	16. Research	17. Social
6. Services		
Media Center Computer Center Cafeteria Health Services Transportation Special Education Special Services		
7. Community Relations		
8. Politics		
External Internal		
9. Governance		
10. Research		
Product Evaluation Performance Evaluation		

APPENDIX B

DANFORTH PROGRAM

Knowledge Stream - Program Structure Proposal

The following proposal is based on six 3 semester hour courses or eighteen 1 semester hour courses. The semester hour credit would be distributed as follows: Summer 1: 6 Sem. hr.; Fall: 3 Sem. hr; Spring: 3 Sem. hr.; and Summer 2: 6 Sem. hr. There would be 5 class meetings of 3 hours duration each for each semester hour of credit. Eventually, the program would be based on instructional modules.

Topic

1. Theory (Org. & Admin./Governance
   a.
   b.
   c.
   d.
   e.
2. Leadership (Techniques, styles, models, etc.)
3. Research (Product and performance evaluation)
4. Politics/Policy Analysis
5. Foundations (Phil of Ed./Ethics/Values
6. Org. Culture/Environments (Multi-ethnic society)
7. Communication (Conflict Man./Group Dynamics)
8. Planning/Decision-making/Technology
9. Supervision
10. Personnel (Staff)
11. Law
12. Finance/Business Management/Facilities
13. Curriculum Development & Evaluation
14. Instructional Theory & Design (Learning theory & styles)
15. Organization of the School Program (Scheduling/Grouping)
16. Pupil Personnel (Guidance/Discipline/Activities/etc.)
17. Special Education/Vocational & Technical Education
18. Organizational and Time Management

UTK/LEA DANFORTH PRINCIPAL PREPARATION PROGRAM

Program of Study

Stream	Summer 1		Fall	Spring	Summer 2		TOTAL HOURS
I. Internship (Experiential Learning/School Focus)	←		6 Sem. Hrs. Full Time		→		6 Sem. Hrs.
II. Assessment/Leadership Development (Reflective Practice/ Mentoring/Individual and Group Focus)	3 Sem. Hrs. Assessment/Development of Action Plan for Year		3 Sem. Hrs. Leadership Development Seminar ←	3 Sem. Hrs. →	3 Sem. Hrs. Final Assessment (NASSP Center)/ Career Development		12 Sem. Hrs.
III. Knowledge--Conceptual/ Technical (Foundations/Academic/ Traditional Focus)	3 Sem. Hrs. a. b. c.	3 Sem. Hrs. a. b. c.	3 Sem. Hrs. a. b. c.	3 Sem. Hrs. a. b. c.	3 Sem. Hrs. a. b. c.	3 Sem. Hrs. a. b. c.	18 Sem. Hrs.
TOTAL HOURS	9 Sem. Hrs.		12 Sem. Hrs.	6 Sem. Hrs.	9 Sem. Hrs.		36 Sem. Hrs.

Danforth Principal Preparation Program

Course of Study

I. Stream I - Internship

A. Focus: Experiential Learning and Practice

B. Schedule and Program:

1. Summer 1 (No Credit)

a. Summer 1 (No Credit)
b. Orientation of interns and mentors
c. Interns help close out school (June)
d. Interns help open school (August)
e. Interns meet with mentor principal and team

2. Fall (16 Semester Hours)

a. Full-time in internship school(s)
b. Work with mentor teams
c. Internship Seminar - Analysis of activities and experiences
d. Application of skills and knowledge base

3. Spring (No Credit)

a. Attend national convention (NASSP or NAESP)
b. Attend Danforth national meeting
c. Individual projects and assignments in home school
d. Continue to work with mentor team
e. School visits

4. Summer 2 (No Credit)

a. Close out year at internship school
b. Closure with mentor principal and team

C. Areas of Intern Proficiency and Skill Development

1. Program development and evaluation

2. Student personnel

a. Behavior control
b. Student activities
c. Guidance and counseling
d. Special services

3. Staff personnel

   a. Supervision of instruction
   b. Professional development
   c. Personnel administration

4. Auxiliary services

5. Parental and community relations

6. Budget development and administration

7. School plant and maintenance

8. District and school policy development, implementation and documentation

9. Strategic and operational planning

10. School climate and organizational culture

D. Staff

1. Coordinator

2. Mentor teams (One team per intern)

   a. U.T. staff member
   b. Mentor principal(s)
   c. Advisory Board member or At-Large mentor
   d. Intern

II. Stream II - Leadership Seminar

A. Focus: Assessment and development of individual and group leadership styles and skills

B. Schedule and Program

1. Summer 1 (3 Semester Hours)

   a. Assessment
      1) In-basket set
      2) Leaderless group activity (videotape)
      3) Structured interview (NASSP?)
      4) Fact finding activity
      5) Formal oral presentation
      6) Written skills (memo, report, letter, etc.)
      7) Leadership style
      8) Leadership decision making
      9) Learning style
      10) Stress tolerance
      11) Etc.

b. Development of individual action plan
c. Development of group action plan

2. Fall and Spring (6 Semester Hours)

a. Program to be developed by planning team based on individual and group needs assessment
b. Interns, mentor teams and others to be active participants
c. Suggested activities
1) Simulation exercises, case studies, and other developmental activities
2) Visits to schools and other agencies
3) Guest speakers
4) Participation in professional conferences
5) Personal and professional cultural development
6) Reflective analysis
7) Values clarification
8) Development of personal and professional philosophy

3. Summer 2 (3 Semester Hours)

a. Culminating assessment
1) Follow-up assessment using entry assessment instruments
2) Self assessment
3) Peer assessment
4) Mentor team assessment
b. Development of future career plans

C. Staff

1. Seminar planning team

a. 2 U.T. staff members
b. 2 Advisory Board members
c. 2 interns

III. Stream III - Knowledge and Skill Base

A. Focus: Foundations - academic, conceptual, technical, and human

B. Schedule and Program

1. Summer 1: Administrative and theoretical component (6 Semester Hours)

a. Leadership (techniques, styles, models, etc.)
b. Theory (org. and admin./governance)
c. Foundations of education (Phil. of Ed., History of Ed./ethics/values/etc.)
d. Research (product and performance)

e. Politics of education/policy analysis
f. Communications (conflict management/group dynamics)

2. Fall: Operational and technical component (3 Semester Hours)

   a. Supervision
   b. School law
   c. Educational finance/business management/facilities

3. Spring: Operational and technical component (3 Semester Hours)

   a. Planning/decision making/technology
   b. Personnel
   c. Organization, time, and stress management

4. Summer 2: Programmatic and instructional component (6 Semester Hours)

   a. Curriculum development and evaluation
   b. Instructional theory and design/learning theory/learning styles
   c. Organization of the school program (scheduling/grouping)
   d. Pupil personnel (guidance/discipline/activities/athletics/etc.)
   e. Organizational culture/environments (multi-ethnic society)
   f. Special education/vocational and technological education

C. Staff

1. A coordinator for each programmatic unit (example: school law) responsible for the content and delivering the unit (The topics for each unit to be approved by the Advisory Board).

2. Adjunct and guest instructors